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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: **TSUDA, Hiroyuki**

Group Art Unit: **Not Yet Assigned**

Serial No.: **10/573,888**

Examiner: **Not Yet Assigned**

Filed: **March 29, 2006**

P.T.O. Confirmation No.: 9923

For: **OPTICAL FUNCTIONAL WAVEGUIDE, OPTICAL MODULATOR, ARRAYED WAVEGUIDE GRATING, AND DISPERSION COMPENSATION CIRCUIT**

**INFORMATION DISCLOSURE STATEMENT**  
**PURSUANT TO 37 CFR 1.97(b)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

June 28, 2006

Sir:

The attention of the Patent and Trademark Office is hereby directed to the documents listed on the attached Form PTO-1449. One copy of each of these documents is attached.

No fee or certification is required in connection with this Information Disclosure Statement, since it is being submitted prior to the issuance of a first official action on the merits or expiration of the three month period following the filing date or the entry of the national stage of the above-captioned application.

The above information is presented so that the Patent and Trademark Office can, in the first instance, determine any materiality thereof to the claimed invention. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the documents cited in the attached Form PTO-1449 be made of record therein and appear on the first page of any patent to issue therefrom.

The Commissioner is authorized to charge our Deposit Account No. 01-2340 for any fee which is deemed by the Patent and Trademark Office to be required to effect consideration of this statement.

Respectfully submitted,

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**23850**

PATENT TRADEMARK OFFICE

Enclosures: PTO-1449  
References (21)



<b>INFORMATION DISCLOSURE CITATION PTO-1449</b>	Atty/Agent No. <b>060247</b>	Serial No. <b>10/573,888</b>
	Applicant(s): <b>TSUDA, Hiroyuki</b>	
	Filing Date: <b>March 29, 2006</b>	Group Art Unit: <b>Not Yet Assigned</b>

### U.S. PATENT DOCUMENTS

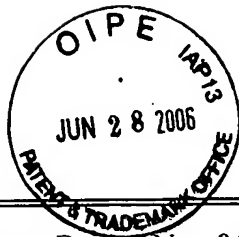
Examiner Initial		Document No.	Name	Date	Cla ss	Subclass	Filing Date (If appropriate)
_____	AA	5,502,590	Suzuki et al.	3/26/1996			
_____	AB	2001/0009595	Okuno et al.	7/26/2001			
_____	AC	2004/0028367	Nara et al.	2/12/2004			
_____	AD	2003/0059148	Nishizawa et al.	3/27/2003			

### FOREIGN PATENT DOCUMENTS

		Document No.	Date	Country	Translation (Yes or No)
_____	AE	7-318994	12/8/1995	Japan	Yes, abstract only. (corresponding to Reference AA)
_____	AF	2001-272561	10/5/2001	Japan	Yes, abstract only. (corresponding to Reference AB)
_____	AG	2003-279910	10/2/2003	Japan	Yes, abstract only. (corresponding to Reference AC)
_____	AH	2003-98559	4/3/2003	Japan	Yes, abstract only. (corresponding to Reference AD)
_____	AI	2004-045747	2/12/2004	Japan	Yes, abstract and machine translated claims and specification.

### OTHER DOCUMENTS

_____	AJ	A copy of the International Search Report for corresponding international patent application No.PCT/JP2005/001460. (Citing References AE-AI and BC-BI.)
_____	AK	HASHIZUME, Y., et al.; "Polymer-assisted silica-based thermo-optic switch;" Abstract from the Proceedings of the 2002 IEICE General Conference; C-3-10, p. 142, (March 7, 2002). (Discussed in the Specification)
Examiner		Date Considered



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Examiner Initial	Document No.	Name	Date	Class	Subclass	Filing Date (If appropriate)
_____	BA					
_____	BB					

### FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Translation (Yes or No)
_____	BC 11-167035	6/22/1999	Japan	Yes, abstract and machine translated claims and specification.
_____	BD 9-152522	6/10/1997	Japan	Yes, abstract and machine translated claims and specification.
_____	BE 2003-167221	6/13/2003	Japan	Yes, abstract and machine translated claims and specification.
_____	BF 2003-084319	3/19/2003	Japan	Yes, abstract and machine translated claims and specification.
_____	BG 1-248141	10/3/1989	Japan	Yes, abstract only.
_____	BH 2000-029079	1/28/2000	Japan	Yes, abstract and machine translated claims and specification.
_____	BI 2001-116937	4/27/2001	Japan	Yes, abstract only.
_____	BJ 2315458	2/10/2001	Canada	(corresponding to Reference BI)
_____	BK 10-239645	9/11/1998	Japan	Yes, abstract and machine translated claims and specification.
_____	BL 5-289117	11/5/1993	Japan	Yes, abstract and machine translated claims and specification.
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